

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW Washington, DC 20503.

1. Agency/Subagency originating request <u>Dept. of Homeland Security/US Coast Guard</u>		2. OMB control number a. <u>1 6 2 5 - 0 0 2 5</u> b. <input type="checkbox"/> None	
3. Type of information collection (check one) a. <input type="checkbox"/> New collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input checked="" type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number <i>For b-f, note item A2 of Supporting Statement instructions</i>		4. Type of review requested (check one) a. <input checked="" type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by: <u> </u> / <u> </u> / <u> </u> c. <input type="checkbox"/> Delegated 5. Small entities. Will this information collection have a significant economic impact on a substantial number of small entities? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
		6. Requested expiration date a. <input checked="" type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: <u> </u> / <u> </u>	
7. Title <u>Carriage of Bulk Solids Requiring Special Handling -- 46 CFR Part 148</u>			
8. Agency form number(s) (if applicable) <u>n/a</u>			
9. Keywords <u>Cargo, Handling, Permit, Pollution prevention, Shipping, Special permit, Vessel</u>			
10. Abstract <u>The information in the application for a special permit lets the Coast Guard determine the severity of the hazard posed by the material, lets it set specific guidelines for safe carriage, or, if the material presents too great a hazard, lets it deny permission for shipping the material.</u>			
11. Affected public (Mark primary with "P" and all others that apply with "X") a. <u> </u> Individuals or households d. <u> </u> Farms b. <u>P</u> Business or other for-profit e. <u> </u> Federal Government c. <u> </u> Not-for-profit institutions f. <u> </u> State, Local or Tribal Gov't		12. Obligation to respond (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Voluntary b. <input checked="" type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory	
13. Annual reporting and recordkeeping hour burden a. Number of respondents <u>1,622</u> b. Total annual responses <u>1,622</u> 1. Percentage of these responses collected electronically <u>0</u> % c. Total annual hours requested <u>1,130</u> d. Current OMB inventory <u>830</u> e. Difference <u>+ 300</u> f. Explanation of difference 1. Program change <u> </u> 2. Adjustment <u>+ 300</u>		14. Annual reporting and recordkeeping cost burden (in thousands of dollars) a. Total annualized capital/startup costs <u> </u> b. Total annual costs (O&M) <u> </u> c. Total annualized cost requested <u> </u> d. Current OMB inventory <u> </u> e. Difference <u> </u> f. Explanation of difference 1. Program change <u> </u> 2. Adjustment <u> </u>	
15. Purpose of information collection (Mark primary with "P" and all others that apply with "X") a. <u> </u> Application for benefits e. <u> </u> Program planning or management b. <u> </u> Program evaluation f. <u> </u> Research c. <u> </u> General purpose statistics d. <u> </u> Audit g. <u>P</u> Regulatory or compliance		16. Frequency of recordkeeping or reporting (check all that apply) a. <input checked="" type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input checked="" type="checkbox"/> Reporting 1. <input checked="" type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input checked="" type="checkbox"/> Other (describe) <u>4-yr</u>	
17. Statistical methods Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		18. Agency contact (person who can best answer questions regarding the content of this submission) Name: <u>Mr. David Du Pont</u> Phone: <u>(202) 267-0971</u>	

**Supporting Statement
for
Carriage of Bulk Solid Materials Requiring Special Handling
-- 46 CFR Part 148**

A. JUSTIFICATION

1. Circumstances that make the collection necessary.

The U.S. Coast Guard administers and enforces the laws, regulations and international conventions for the safe transportation and stowage of hazardous materials, including bulk solids. The International Convention for the Safety of Life at Sea, 1974 as amended, (SOLAS; 74/83) contains, in Chapter VII Regulation 5, a requirement that shipping papers and a dangerous cargo manifest accompany all shipments of hazardous materials in the bulk solid form. This international requirement is translated into U.S. regulation in 46 CFR Part 148.

Special Permits are issued by the Coast Guard as part of its mission to ensure maritime safety and facilitate U.S. commerce. These special permits are issued to allow the carriage of hazardous bulk solid materials that are not addressed in 46 CFR Part 148.

This information collection supports the following strategic goals:

U.S. Coast Guard:

- Safety
- Protection of natural resources

Marine Safety, Security and Environmental Protection Directorate (G-M):

- Safety: Eliminate deaths, injuries, and property damage associated with commercial maritime operations.
- Human and Natural Environment: Eliminate environmental damage associated with maritime transportation and operations on and around the nation's waterways.

2. How, by whom, and for what purpose the information is used.

The Special Permits allow the Coast Guard to control the conditions under which shipments of hazardous materials can be made, and at the same time, allow the shipping industry a greater amount of flexibility than would be afforded without the Special Permit provision. The information required to be submitted when applying for a Special Permit allows the Coast Guard to make a well-informed determination as to the severity of the hazard posed by the material in question and allows them to set specific guidelines for safe carriage or, if it is determined that a material presents too great a hazard, to deny permission for shipping the material. If the required information were not submitted, the Coast Guard would be unable to issue Special

Permits with adequate precautions for shipping the cargo, and thus could not permit shipment.

Shipping papers, dangerous cargo manifests, and shipper's certificates are not required to be submitted to the Coast Guard and are not required to be retained on board the vessel once the cargo has been off-loaded. However, the information contained in these documents may be utilized in an emergency situation, which is why they are required to be in a readily retrievable location. If an emergency such as a fire occurs on board the vessel, the required documents will provide the master with information on: (1) the identity of the cargo, its hazard class and a point of contact for additional information about the cargo (the shipping paper); (2) the quantity and location of the material on board the vessel (dangerous cargo manifest); and (3) the condition of the cargo when received aboard the vessel (shipper's certificate).

3. Consideration of improved information technology.

The required information for Special Permits may be submitted to the Coast Guard via email, fax, or regular mail, depending upon vessel owners' preferences. Shipping papers, dangerous cargo manifests, and shipper's certificates are not submitted to the Coast Guard; rather, they are records that are retained on the vessel.

We estimate that 100% of this collection's reporting requirements can be done electronically. At this time, we estimate that 0% is done electronically.

4. Efforts to identify duplication.

An effort has been made in the regulations to eliminate the duplicate submission of information when requesting a Special Permit. Previously, each individual desiring to ship a cargo not listed in Part 148 was required to submit detailed information concerning the material and the proposed method of transport. The regulations require that the first person to request the permit submit detailed information on the proposed method and on the cargo to be carried. This cargo information may be submitted in the form of a Material Safety Data Sheet (MSDS). The MSDS is required by the Occupational Safety and Health Administration (OSHA) for all hazardous materials handled in land based operations, and thus should be readily available, reducing the need to develop duplicate information for submission to the Coast Guard.

5. Burden on small businesses.

Special permits are necessary for the safety of the vessel and its personnel. The required submissions are the minimum consistent with this objective. The respondent's size is not relevant to safety. However, since the shipping industry is comprised mainly of large corporations it is anticipated that few, if any, small businesses will be affected.

6. Consequences of less frequent action.

The only information submitted to the Coast Guard is the Special Permit. The original submission is required when a Special Permit is requested. By law, any exemption issued under the rules promulgated by the Secretary of Transportation must be issued for a period not to exceed four years. Therefore, it is necessary for permit holders to renew their Special Permit every 4 years. In order to ensure that the carriage requirements imposed by the Special Permit are sufficient and that the permit holder is complying with the terms of the permit, it is necessary to require the submission of information concerning the history of shipments made under the terms of the Special Permit.

7. Special collection circumstances.

The methods of this collection are consistent with the guidelines.

8. Consultation.

The public has opportunity to comment on the bulk solid regulations at annual meetings of the Shipping Coordinating Committee (SHC) Subcommittee on Dangerous Goods, Solid Cargoes, and Containers which are held in preparation for meetings of the International Maritime Organization (IMO) Subcommittee on Dangerous Goods, Solid Cargoes, and Containers (DSC). At these meetings, the U.S. position on matters relating to the international transport of bulk solid materials is developed. Representatives from all aspects of the industry are encouraged to attend via a mailing of the agenda and any papers to be discussed.

9. Decisions to provide payment or gift to respondents.

There are no payments or gifts to respondents.

10. Assurance of confidentiality provided to respondents.

All information collected complies with the Freedom of Information Act (FOIA), the Privacy Act, and OMB circular A-108. Confidentiality is promised, when requested, for information exempt from the mandatory public disclosure requirements of FOIA, or when the information is a trade secret.

11. Additional justification for questions of a sensitive nature.

The information requested is not of a sensitive nature.

12. Estimate of the hour and cost burdens^{1,2}.

- The estimated annual number of respondents is--1,622 (22+800+100+700).
- The estimated annual number of responses is--1,622 (22+800+100+700).
- The estimated total annual burden is--1,130 hours (330+400+50+350).

(a) Special Permits

It is estimated that 22 special permits will be requested or renewed each year. Assuming that it will take a member of industry approximately 15 hours to gather and submit the necessary information for a Special Permit request, the annual hour burden is 330 hours. Also, assuming an average salary of \$41/hour and 30% overhead costs to the shipping industry per Special Permit request, the annual cost is \$17,589 [330 hours x \$41/hour + 30% (330 hours x \$41/hour)].

(b) Shipping Papers

It is estimated that 800 shipments per year will require shipping papers. At an average of 0.5 hours per paper, the annual hour burden is 400 hours. (800 shipments x 0.5 hours per shipment). Moreover, assuming an average salary of \$26/hour and 30% administrative costs to the shipping industry per shipping paper, the annual cost is approximately \$13,520 [400 hours x \$26/hour + 30% (400 hours x \$26/hour)].

(c) Dangerous Cargo Manifest

Approximately 100 shipments will require Dangerous Cargo Manifests. Assuming that the paperwork requirements average 0.5 hours per paper, the annual hour burden is 50 hours. (0.5 hours/shipment x 100 shipments per year). Furthermore, assuming an average salary of \$26/hour and 30% administrative costs to the shipping industry per dangerous cargo manifest, the annual cost is approximately \$1,690 [50 hours x \$26/hour + 30% (50 hours x \$26/hour)].

(d) Shipper's Certificates

Approximately 700 shipments will require shipper's certificates. Furthermore, only 1/3 of these certificates are unique. Assuming 1.5 hours per certificate, the annual hour burden is 350 hours (700 shipments x 1.5 hours x 0.33 unique certificates). Moreover, assuming an average salary of \$26/hour and 30% administrative costs to the shipping industry per shipping paper, the annual cost is approximately \$11,830 [350 hours x \$26/hour + 30% (350 hours x \$26/hour)].

¹ Mr. Brian Robinson (G-MSO-3) supplied the hour and cost burden estimates for this analysis.

² The number of respondents reflects foreign and domestic vessels using U.S. ports. This does not affect the computations for the paperwork burden because these figures are not based on the number of respondents, rather they are based on per shipment burdens. Shipment estimates for this regulation are inclusive of international vessel voyages with regards to paperwork requirements, and this change is only significant in computing costs other than those necessary for the Collection of Information analysis.

The total paperwork hour and cost burdens are summarized as follows in Tables 1 and 2:

Table 1. Annual Paperwork Hour Burden to Respondents

Document	Number of Hours/Year
Special Permits	330
Shipping Papers	400
Dangerous Cargo Manifests	50
Certificates	350
<i>Total</i>	<i>1,130 hours</i>

Table 2. Annual Paperwork Cost Burden to Respondents

Document	Cost/Year
Special Permits	\$17,589
Shipping Papers	\$13,520
Dangerous Cargo Manifests	\$1,690
Certificates	\$11,830
<i>Total</i>	<i>\$44,629</i>

13. Total annualized capital and start-up costs.

There are no capital or start-up costs.

14. Estimates of annualized cost to the Federal Government³.

It is expected that a Coast Guard Specialist will require 15 hours to review and process a Special Permit request or renewal. Therefore, the annual hour burden is 330 hours. Assuming an average salary of \$40/year, the annual cost burden is \$17,160. (330 hours x \$40/hour + 30% administrative costs)

15. Reasons for the change in burden.

The change in hour burden is an ADJUSTMENT due to an increase in Special Permit submissions. Changes to the cost burden reflect an increase in Special Permits and an estimated increase in wages.

16. Plans for tabulation, statistical analysis, and publication.

There are no plans to use statistical analysis or to publish this information.

³ Mr. Brian Robinson (G-MSO-3) supplied the hour and cost burden estimates for this analysis.

17. Approval for not explaining the expiration date for OMB approval.

Not applicable.

18. Exception to the certification certificate.

Not applicable.

B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS.

Not applicable.